



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:	)
Mark J. STEFIK, <i>et al.</i>	) Examiner: Unassigned
	)
Application No.: 10/773,306	) Group Art Unit: 2131
	)
Filed: February 9, 2004	)
	)
For: <b>SYSTEM FOR CONTROLLING THE</b>	) Confirmation No.: 6652
<b>DISTRIBUTION AND USE OF DIGITAL</b>	)
<b>WORKS UTILIZING DIGITAL TICKETS</b>	)

United States Patent and Trademark Office  
Customer Service Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97 (b)**

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. The references listed on the attached PTO-1449 forms have been made of record in related application serial number 09/777,966 filed on February 7, 2001, therefore no copies of the references cited are submitted herewith.

It is requested that the accompanying PTO-1449 be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initial a copy of this form be returned to the undersigned.

The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 19-2380 (111325-127/021100).

Respectfully submitted,

**NIXON PEABODY, LLP**

By: 

Carlos R. Villar  
Registration No. 43,224

Date: 6/16/05

Customer No. 22204

**NIXON PEABODY LLP**

401 9<sup>th</sup> Street, N.W., Suite 900

Washington, DC 20004-2128

Telephone: (202) 585-8000

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 10

**Complete if Known**

Application Number	10/773,306
Filing Date	February 9, 2004
First Named Inventor	Mark J. STEFIK, et al.
Art Unit	2131
Examiner Name	Not Yet Assigned
Attorney Docket Number	111325-127 (021100)

**U.S. PATENT DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-3,263,158	07/01/1996	Janis	
		US-3,609,697	09/28/1971	Blevins et al.	
		US-3,790,700	02/05/1974	Callais et al.	
		US-3,798,605	03/19/1974	Feistel	
		US-4,159,468	06/26/1979	Barnes et al.	
		US-4,220,991	09/02/1980	Hamano et al.	
		US-4,278,837	07/14/1981	Best	
		US-4,323,921	04/06/1982	Guillou	
		US-4,442,486	04/10/1984	Mayer	
		US-4,529,870	07/16/1985	Chaum	
		US-4,558,176	12/10/1985	Arnold et al.	
		US-4,593,376	06/03/1986	Volk	
		US-4,614,861	09/30/1986	Pavlov et al.	
		US-4,644,493	02/17/1987	Chandra et al.	
		US-4,658,093	04/14/1987	Hellman	
		US-4,713,753	12/15/1987	Beobert et al.	
		US-4,796,220	01/03/1989	Wolfe	
		US-4,817,140	03/28/1989	Chandra et al.	
		US-4,827,508	05/02/1989	Shear	
		US-4,868,376	09/19/1989	Lessin et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>2</sup> (if known)				
		0 084 441 EP	07/27/1983	TABS LIMITED		
		0 180 460 EP	05/07/1986	SONY CORPORATION		
		0 332 707 EP	09/01/1989	HONDA GIKEN KOGYO KABUSHIKI KAISHA		
		0 538 216 A1 EP	04/21/1993	TELEVERKET		
		0 651 554 EP	05/03/1995	EASTMAN KODAK CO.		
		0 668 695 EP	08/23/1995	VICTOR COMPANY OF JAPAN LIMITED		
		0 725 376 EP	08/07/1996	SONY CORP.		
		2 136 175 GB	09/12/1984	ATALLA CORP.		
		2 236 604 GB	04/10/1991	SUN MICROSYSTEMS INC		
		0 715 241 JP	06/05/1996	MITSUBISHI CORP.		
		04-369068 JP	12/21/1992	CHIYUUBU NIHON DENKI SOFUTOEUA KK		Abst
Examiner Signature			Date Considered			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/773,306
				Filing Date	February 9, 2004
				First Named Inventor	Mark J. STEFIK, <i>et al.</i>
				Art Unit	2131
				Examiner Name	Not Yet Assigned
Sheet	2	of	10	Attorney Docket Number	111325-127 (021100)

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-4,882,752	11/21/1989	Lindman et al.	
		US-4,891,838	01/02/1990	Faber	
		US-4,924,378	05/08/1990	Hershey et al.	
		US-4,932,054	06/05/1990	Chou et al.	
		US-4,937,863	06/26/1990	Robert et al.	
		US-4,949,187	08/14/1990	Cohen	
		US-4,953,209	08/28/1990	Ryder, Sr. et al.	
		US-4,961,142	10/02/1990	Elliott et al.	
		US-4,975,647	12/04/1990	Downer et al.	
		US-4,977,594	12/11/1990	Shear	
		US-4,999,806	03/12/1991	Chernow et al.	
		US-5,010,571	04/23/1991	Katznelson	
		US-5,014,234	05/07/1991	Edwards, Jr.	
		US-5,023,907	06/11/1991	Johnson et al.	
		US-5,047,928	09/10/1991	Wiedemer	
		US-5,050,213	09/17/1991	Shear	
		US-5,052,040	09/24/1991	Preston et al.	
		US-5,058,164	10/15/1991	Elmer et al.	
		US-5,103,476	04/07/1992	Waite et al.	
		US-5,113,519	05/12/1992	Johnson et al.	
		US-5,136,643	08/04/1992	Fischer	

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		05-268415	JP	10/15/1993	RICOH CO LTD		Abst
		06-175794	JP	06/24/1994	FUJI XEROX CO LTD		Abst
		06-215010	JP	08/05/1994	SONY CORP.		Abst
		07-084852	JP	03/31/1995	HITACHI LTD.		Abst
		07-200317	JP	08/04/1995	TOSHIBA CORP.		Abst
		07-244639	JP	09/19/1995	FUJITSU LTD		Abst
		62-241061	JP	10/21/1987	NEC CORP.		Abst
		64-068835	JP	03/14/1989	RYOICHI MORI		Abst
		WO 01/63528	PCT	08/30/2001	IPDN COPR.		
		WO 92/20022	PCT	11/12/1992	DIGITAL EQUIPMENT CORP.		

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>	
				Application Number	10/773,306
				Filing Date	February 9, 2004
				First Named Inventor	Mark J. STEFIK, <i>et al.</i>
				Art Unit	2131
				Examiner Name	Not Yet Assigned
Sheet	3	of	10	Attorney Docket Number	111325-127 (021100)

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-5,138,712	08/11/1992	Corbin	
		US-5,146,499	09/08/1992	Geffrotin	
		US-5,148,481	09/15/1992	Abraham et al.	
		US-5,159,182	10/27/1992	Eisele	
		US-5,183,404	02/02/1993	Aldous et al.	
		US-5,191,193	03/02/1993	Le Roux	
		US-5,224,163	06/29/1993	Gasser et al.	
		US-5,204,897	04/20/1993	Wyman	
		US-5,222,134	06/22/1993	Waite et al.	
		US-5,229,263	03/29/1994	Beller et al.	
		US-5,235,642	08/10/1993	Wobber et al.	
		US-5,247,575	09/21/1993	Sprague et al.	
		US-5,255,106	10/19/1993	Castro	
		US-5,260,999	11/09/1993	Wyman	
		US-5,263,157	11/16/1993	Janis	
		US-5,263,158	11/16/1993	Janis	
		US-5,276,444	01/04/1994	McNair	
		US-5,276,735	01/04/1994	Boebert et al.	
		US-5,291,596	03/01/1994	Mita	
		US-5,301,231	04/05/1994	Abraham et al.	
		US-5,311,591	05/10/1994	Fischer	
		US-5,319,705	06/07/1994	Halter et al.	

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		WO 93/01550	PCT	01/21/1993	INFOLOGIC SOFTWARE, INC		
		WO 94/01821	PCT	01/20/1994	SECURE COMPUTING CORP.		
		WO 96/24092	PCT	08/08/1996	BENSON, Greg		
		WO 97/48203	PCT	12/18/1997	INTEL CORP.		
		WO 98/11690	PCT	03/19/1998	GLOVER, John J.		
		WO 98/42098	PCT	09/24/1998	CRYPTOWORKS, INC.		
		WO 99/49615	PCT	09/30/1999	MICROTOME		

Examiner Signature	Date Considered
-----------------------	--------------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [222.uspto.gov](http://222.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>			
				Application Number		10/773,306	
				Filing Date		February 9, 2004	
				First Named Inventor		Mark J. STEFIK, <i>et al.</i>	
				Art Unit		2131	
				Examiner Name		Not Yet Assigned	
Sheet	4	of	10	Attorney Docket Number		111325-127 (021100)	

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-5,337,357	08/09/1994	Chou et al.	
		US-5,339,091	08/16/1994	Yamazaki et al.	
		US-5,341,429	08/23/1994	Stringer et al.	
		US-5,347,579	09/13/1994	Blandford	
		US-5,381,526	01/10/1995	Ellson	
		US-5,394,469	02/28/1995	Nagel et al.	
		US-5,410,598	04/25/1995	Shear	
		US-5,412,717	05/02/1995	Fischer	
		US-5,428,606	06/27/1995	Moskowitz	
		US-5,432,849	07/11/1995	Johnson et al.	
		US-5,438,508	08/01/1995	Wyman	
		US-5,444,779	08/22/1995	Daniele	
		US-5,453,601	09/26/1995	Rosen	
		US-5,455,953	10/03/1995	Russell	
		US-5,457,746	10/10/1995	Dolphin	
		US-5,473,687	12/05/1995	Lipscomb et al.	
		US-5,473,692	12/05/1995	Davis	
		US-5,499,298	03/12/1996	Narasimhalu et al.	
		US-5,502,766	03/26/1996	Boebert et al.	
		US-5,504,814	04/02/1996	Miyahara	

FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>5</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>2</sup> (if known)			

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>	
				Application Number	10/773,306
				Filing Date	February 9, 2004
				First Named Inventor	Mark J. STEFIK, <i>et al.</i>
				Art Unit	2131
				Examiner Name	Not Yet Assigned
				Attorney Docket Number	111325-127 (021100)
Sheet	5	of	10		

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-5,504,818	04/02/1996	Okano	
		US-5,504,837	04/02/1996	Griffeth et al.	
		US-5,509,070	04/16/1996	Schull	
		US-5,530,235	06/25/1996	Stefik et al.	
		US-5,532,920	07/02/1996	Hartrick et al.	
		US-5,534,975	07/09/1996	Stefik et al.	
		US-5,539,735	07/23/1996	Moskowitz	
		US-5,563,946	10/08/1996	Cooper et al.	
		US-5,568,552	10/22/1996	Davis	
		US-5,621,797	04/15/1997	Rosen	
		US-5,629,980	05/13/1997	Stefik et al.	
		US-5,633,932	05/27/1997	Davis et al.	
		US-5,634,012	05/27/1997	Stefik et al.	
		US-5,638,443	06/10/1997	Stefik et al.	
		US-5,649,013	07/15/1997	Stuckey et al.	
		US-5,655,077	08/05/1997	Jones et al.	
		US-5,708,717	01/13/1998	Alasia	
		US-5,734,823	03/31/1998	Saigh et al.	
		US-5,734,891	03/31/1998	Saigh	
		US-5,737,413	04/07/1998	Akiyama et al.	

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [222.uspto.gov](http://222.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>			
				Application Number		10/773,306	
				Filing Date		February 9, 2004	
				First Named Inventor		Mark J. STEFIK, <i>et al.</i>	
				Art Unit		2131	
				Examiner Name		Not Yet Assigned	
Sheet	6	of	10	Attorney Docket Number		111325-127 (021100)	

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-5,737,416	04/07/1998	Cooper et al.	
		US-5,745,569	04/28/1998	Moskowitz et al.	
		US-5,748,783	05/05/1998	Rhoads	
		US-5,757,907	05/26/1998	Cooper et al.	
		US-5,761,686	06/02/1998	Bloomberg	
		US-5,765,152	06/09/1998	Erickson	
		US-5,768,426	06/16/1998	Rhoads	
		US-5,825,892	10/20/1998	Braudaway et al.	
		US-5,892,900	04/06/1999	Ginter et al.	
		US-5,910,987	06/08/1999	Ginter et al.	
		US-5,915,019	06/22/1999	Ginter et al.	
		US-5,917,912	06/29/1999	Ginter et al.	
		US-5,920,861	07/06/1999	Hall et al.	
		US-5,940,504	08/17/1999	Griswold	
		US-5,943,422	08/24/1999	Van Wie et al.	
		US-5,949,876	09/07/1999	Ginter et al.	
		US-5,982,891	11/09/1999	Ginter et al.	
		US-5,999,949	12/07/1999	Crandall	
		US-6,047,067	04/04/2000	Rosen	
		US-6,112,181	08/29/2000	Shear et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup>			

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [222.uspto.gov](http://222.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/773,306
				Filing Date	February 9, 2004
				First Named Inventor	Mark J. STEFIK, <i>et al.</i>
				Art Unit	2131
				Examiner Name	Not Yet Assigned
Sheet	8	of	10	Attorney Docket Number	111325-127 (021100)

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>3</sup>
		"National Semiconductor and EPR Partner for Information Metering/Data Security Cards" March 4, 1994, Press Release from Electronic Publishing Resources, Inc.	
		Weber, R., "Digital Rights Management Technology" October 1995	
		Flasche, U. et al., "Decentralized Processing of Documents", pp. 119-131, 1986, Comput. & Graphics, Vol. 10, No. 2	
		Mori, R. et al., "Superdistribution: The Concept and the Architecture", pp. 1133-1146, 1990. The Transactions of the IEICE, Vo. E 73, No. 7, Tokyo, JP	
		Weber, R., "Metering Technologies for Digital Intellectual Property", pp. 1-29, Oct. 1994, A Report to the International Federation of Reproduction Rights Organizations	
		Clark, P.C. et al., "Bits: A Smartcard protected Operating System", pp. 66-70 and 94, November 1994, Communications of the ACM, Vol. 37, No. 11	
		Ross, P.E., "Data Guard", pp. 101, June 6, 1994, Forbes	
		Saigh, W.K., "Knowledge is Sacred", 1992, Video Pocket/Page Reader Systems, Ltd.	
		Kahn, R.E., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 1-19, August 1992, Corporation for National Research Initiatives, Virginia	
		Hilts, P. et al., "Books While U Wait", pp. 48-50, January 3, 1994, Publishers Weekly	
		Strattner, A., "Cash Register on a Chip may Revolutionize Software Pricing and Distribution; Wave Systems Corp.", pp. 1-3, April 1994, Computer Shopper, Vol. 14, No. 4, ISSN 0886-0556	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/773,306
				Filing Date	February 9, 2004
				First Named Inventor	Mark J. STEFIK, <i>et al.</i>
				Art Unit	2131
				Examiner Name	Not Yet Assigned
Sheet	9	of	10	Attorney Docket Number	111325-127 (021100)

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		O'Conner, M., "New Distribution Option for Electronic Publishers; iOpener Data Encryption and Metering System for CD-ROM use; Column", pp. 1-6, March 1994, CD-ROM Professional, Vol. 7, No. 2, ISSN: 1409-0833	
		Willett, S., "Metered PCs: Is Your System Watching You? Wave System beta tests new technology", pp. 84, May 2, 1994, InfoWorld	
		Linn, R., "Copyright and Information Services in the Context of the National Research and Education Network", pp. 9-20, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Perrit, Jr., H., "Permission Headers and Contract Law", pp. 27-48, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Upthegrove, L., "Intellectual Property Header Descriptors: A Dynamic Approach", pp. 63-66, January 1994, IMA Intellectual Property Proceedings, Vol. 1, Issue 1	
		Sirbu, M., "Internet Billing Service Design and prototype Implementation", pp. 67-80, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Simmell, S. et al., "Metering and Licensing of Resources: Kala's General Purpose Approach", pp. 81-110, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Kahn, R., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 111-120, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Tygar, J. et al., "Dyad: A System for Using Physically Secure Coprocessors", pp. 121-152, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Griswold, G., "A Method for Protecting Copyright on Networks", pp. 169-178, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/773,306
				Filing Date	February 9, 2004
				First Named Inventor	Mark J. STEFIK, <i>et al.</i>
				Art Unit	2131
				Examiner Name	Not Yet Assigned
Sheet	10	of	10	Attorney Docket Number	111325-021100)

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Nelson, T., "A Publishing and Royalty Model for Networked Documents", pp. 257-259, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1	
		Robinson, E., "Redefining Mobile Computing", pp. 238-240, 247-248 and 252, July 1993, PC Computing	
		Abadi, M. et al., "Authentication and Delegation with Smart-cards", PP. 1-24, 1990, Research Report DEC Systems Research Center	
		Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 219-253, 1996, Internet Dreams: Archetypes, Myths, and Metaphors, IDSN 0-262-19373-6	
		Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 2-35, February 8, 1995, Internet Dreams: Archetypes, Myths and Metaphors	
		Henry H. Perritt, Jr., "Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment", April 2-3, 1993, Knowbots, Permissions Headers & Contract Law	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.